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PATENT
Express Mail No. EV016640063US
Attorney Docket No. 11653.00 (formerly 5547.00)

#2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Mark Rosenberg

Serial No.: 09/592,845

Filed: June 13, 2000

For: INVESTMENT STRUCTURE AND METHOD
HAVING FIXED AND CONTINGENT
COMPONENTS

Examiner: not yet assigned

Art Unit: 2761

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TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
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Docket No.
11653.00

In Re Application Of: **Mark Rosenberg**

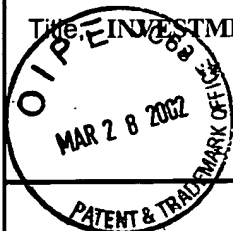
Serial No.
09/592,845

Filing Date
June 13, 2000

Examiner
not yet assigned

Group Art Unit
2761

Title: **INVESTMENT STRUCTURE AND METHOD HAVING FIXED AND CONTINGENT COMPONENTS**



Address to:
Assistant Commissioner for Patents
Washington, D.C. 20231

37 CFR 1.97(b)

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

37 CFR 1.97(c)

2. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

☐ the statement specified in 37 CFR 1.97(e);

OR

☐ the fee set forth in 37 CFR 1.17(p).

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.
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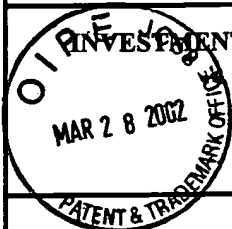
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Lance L. Vietzke
Attorney Reg. No. 36,708
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